

## **SENIOR ASSESSMENT TEAM CHARTER**

### **1. Purpose**

1.1 This charter establishes the Senior Assessment Team (SAT) as NASA's foremost body for internal control oversight. This charter sets forth its functions, membership, meetings, duration, measurement, and records management.

1.2 The SAT integrates programmatic, institutional, and financial internal control across the Agency to ensure that internal controls are commensurate with identified risks and results-oriented management. The SAT also serves as an entity to acquire, analyze and communicate information on internal control.

1.3 The SAT promotes Agency compliance with the Federal Managers' Financial Integrity Act and implementation guidance by the Office of Management and Budget (OMB) Circular A-123, Management's Responsibility for Internal Control. The SAT provides advice, counsel, and recommendations on NASA internal control deficiencies for decision by the NASA Operations Management Council (OMC): to add new deficiencies to the watch list, modify the severity classification of existing weaknesses, close deficiencies, and agree on any material weaknesses to be published outside the Agency.

### **2. Applicability/Scope**

This charter applies to NASA Headquarters and NASA Centers, including Component Facilities and Service Support Centers.

### **3. Authority**

42 U.S.C. § 2473(c)(1), Section 203(c)(1) of The National Aeronautics and Space Act of 1958, as amended.

31 U.S.C. 3512, (b) and (c) Federal Managers' Financial Integrity Act of 1982 (P.L. 97-255), 96 Stat. 814 September 8, 1982.

OMB Circular A-123, Management's Responsibility for Internal Control.

NASA Policy Directive (NPD) 1000.3, The NASA Organization.

NPD 1200.1, NASA Internal Control.

#### **4. Functions**

- 4.1 The SAT is the functional owner of the Agency's internal control program.
- 4.2 The SAT reviews Agency-wide internal control policies, procedures, and processes.
- 4.3 The SAT identifies and ensures that adequate funding and resources are made available for an effective internal control program.
- 4.4 The SAT oversees the annual process for developing the Administrator's Statement of Assurance on NASA Internal Control.
- 4.5 The SAT evaluates proposed and existing internal control deficiencies.
- 4.6 The SAT recommends material weaknesses and other watch list changes for decision by the OMC.
- 4.7 The SAT periodically assesses the effectiveness of Agency, Center, and organizational efforts with respect to internal control policies, procedures, processes, and activities.

#### **5. Membership**

- 5.1 The membership of the SAT includes the following positions:
  - a. Director of the Office of Program and Institutional Integration (Chairperson)
  - b. Associate Deputy Administrator
  - c. Assistant Associate Administrator
  - d. Associate Administrator, Institutions and Management
  - e. Deputy Chief Financial Officer
  - f. Deputy Chief Information Officer
  - g. Deputy Assistant Administrator for Infrastructure and Administration
  - h. Deputy Assistant Administrator for Human Capital Management
  - i. Deputy Associate Administrator for Aeronautics Research
  - j. Deputy Associate Administrator for Exploration Systems
  - k. Deputy Associate Administrator for Science
  - l. Deputy Associate Administrator for Space Operations
  - m. Deputy Center Directors (3 to serve on rotational basis)
  - n. Deputy Director of the Integrated Enterprise Management Program
  - o. Deputy General Counsel
  - p. Deputy Chief Engineer
  - q. Deputy Chief of the Office of Safety and Mission Assurance
  - r. Deputy Inspector General (advisory capacity)
- 5.2 The Assistant Administrator for Internal Controls and Management Systems (OICMS) serves as chief advisor to the SAT and appoints OICMS staff to facilitate meetings, assessments and other activities of the SAT.

## **6. Meetings**

6.1 The SAT meets at the call of the Chairperson and at least quarterly. The OICMS Assistant Administrator establishes the agenda in consultation with the Chairperson and SAT members or their staff included on the agenda.

6.2 Actions are recorded in the minutes and tracked on the Headquarters Action Tracking System. The SAT meets periodically to evaluate the status of corrective actions to close deficiencies on the watch list.

## **7. Duration**

The SAT will remain in existence indefinitely.

## **8. Measurement**

At the final meeting of each fiscal year, the SAT assesses the status of all current deficiencies and newly identified deficiencies. The SAT provides an annual report of deficiencies at the material weakness level and any watch list changes recommended for decision by the OMC.

## **9. Records**

OICMS staff members are responsible for the maintenance of this charter and are required to maintain and retain all records associated with the SAT in accordance with the Federal Records Management Act at 44 U.S.C. 3301 et seq., and NPD 1440.6G.